

## Appendix A. Local Administered Projects Certification and Re-Certification

Please refer to the following link for the Local Administered Projects Certification or Re-Certification:

LAP Certification Application

<http://www.dot.ga.gov/PartnerSmart/Local/Documents/LAPCertification.pdf>



# Georgia Department of Transportation



## Local Administered Projects Certification

Rev. 11/14

# Georgia Department of Transportation Local Administered Projects Certification

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The Georgia Department of Transportation (GDOT) has developed a Local Administered Projects (LAP) Certification process to ensure the resource capacity and ability of the Local Public Agency (LPA) to successfully manage, administer and execute the policies and procedures for Federal and State compliance in order to receive federal funding participation.

The LAP Certification application will be used to determine if Local Public Agencies will qualify to administer federal-aid projects. The GDOT serves as the prime recipient of federal transportation funds. In accordance with 23 Code of Federal Regulation Part 635.105, GDOT is the supervising agency; as such, it is responsible for authorizing performance of the work by the Local Agency on all Federal-aid projects. Please complete the questions provided in this application to ensure a complete review of submitted materials.

If you have any questions about the application please contact the Office of Program Control at 404-631-1536. For additional information please visit the Local Programs website at

<http://www.dot.ga.gov/PS/Local/LAP>



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## Acronyms

**AADT** – Average Annual Daily Traffic

**AAWT** – Average Annual Weekly Traffic

**AASHTO** – American Association of State Highway and Transportation Officials  
(<http://www.transportation.org>)

**ADA** – Americans with Disabilities Act

**ADT** – Average Daily Traffic

**AHI** – Adjusted Hazard Index

**ATR** – Automated Traffic Recorder

**AWT** – Average Weekly Traffic

**C-D** – Collector-Distributor

**CDR** – Collector Distributor Road **CFR** –

Code of Federal Regulations **CORSIM** –

Corridor Simulation Software **CWP** – (GDOT)

Construction Work Program **DBA** – Decibels,  
A-Scale

**DHV** – Design Hour Volume

**DTM** – Digital Terrain Model

**FAA** – Federal Aviation Administration (<http://www.faa.gov>)

**FDR** – Freeway Distributor Road

**FFPR** – (GDOT) Final Field Plan Review

**FHWA** – Federal Highway Administration (<http://www.fhwa.dot.gov>)

**FRA** – Federal Railroad Administration (<http://www.fra.dot.gov/>)

**GDOT** – Georgia Department of Transportation (<http://www.dot.ga.gov>)

**GLA** – Gross Leasable Area

**GRIP** – Governor’s Road Improvement Program  
(<http://www.dot.ga.gov/Projects/programs/Pages/GRIP.aspx>)

**GRTA** – Georgia Regional Transportation Authority (<http://www.grta.org/>)

**HCM** – Highway Capacity Manual (see **References** for additional information)

**HCS** – Highway Capacity Software (<http://mctrans.ce.ufl.edu/hcs/>)

**HOV** – High Occupancy Vehicle

**IA** – Independent Assurance

**ISTEA**- Intermodal Surface Transportation Equity Act  
([http://www.bts.gov/laws\\_and\\_regulations/](http://www.bts.gov/laws_and_regulations/))

**ITE** – Institute of Transportation Engineers (<http://www.ite.org/>)

**L/A** – Limited Access

**LARP** – Local Assistance Road Program

**MPO** – Metropolitan Planning Organization

**MUTCD** – Manual on Uniform Traffic Control Devices (FHWA) see **References** for additional information

**NHS** – National Highway System

**OCGA** – Official Code of Georgia (<http://www.lexis-nexis.com/hottopics/gacode/default.asp>)

**OES** – (GDOT) Office of Environmental Services

**OMR** – GDOT's Office of Materials and Research.

**PDP** – (GDOT) Plan Development Process

**PE** – Preliminary Engineering

**PFPR** – Preliminary Field Plan Review

**PHV** – Peak Hour Volume

**PM** – Preventive Maintenance

**PNRC** – Project Nomination Review Committee

**QPL** – (GDOT) Qualified Products List

**RCInfo** – Roadway Characteristics Information

**RDG** – (AASHTO) Roadside Design Guide  
([https://bookstore.transportation.org/item\\_details.aspx?ID+148](https://bookstore.transportation.org/item_details.aspx?ID+148))

**ROW** – Right-of-Way

**RTT** – Roadway Testing Technician as certified by GDOT

**RTV** – Right Turn Volume

**SPUI** – Single Point Urban Interchange

**SRTA** – State Road and Tollway Authority

**STARS** – (Georgia) State Traffic and Report Statistics

(<http://www.dot.ga.gov/informationcenter/statistics/Pages/default.aspx>)

**STI** – GDOT Sampling, Testing and Inspection Manual which is located on the GDOT website under “The Source”.

**STIP** – State Transportation Improvement Plan.

**SWTP** – Statewide Transportation Plan

(<http://www.dot.ga.gov/Projects/programs/Pages/SSTP.aspx>)

**TIP** – Transportation Improvement Program

**TMOS**- Testing Management Operations Supervisor

**POLICY AND PROCEDURE** – Transportation Online Policy and Procedure System

(<http://www.dot.ga.gov/Policy and Procedure/index.shtml>)

**UAM** – (GDOT) Utility Accommodation Policy and Standards Manual.

<http://www.dot.ga.gov/doingbusiness/utilities/Pages/manual.aspx>

**VT** – Verification Testing



## Types of Certification Applications

### 1. Full Certification Acceptance (CA) Status

This status delegates some or all authority to a qualified local agency for approving project development and construction administration.

### 2. Non-CA Status

a) Option 1 The Non-CA Local Government could enter into an agreement with a CA Local Government to administer all aspects of the project. There must be a jurisdictional relationship (for example a CA County could have an agreement with a Non-CA City that is within its jurisdictional boundaries). This agreement requires approval by GDOT.

b) Option 2 GDOT acts as the CA for the Local Government through an approved plan for the administration of projects, which are executed between GDOT and the Local Government.

## Required Training for Certification

These courses will be required every 3 years for certification and re-certification:

- Local Administered Projects Training
- Right-of-Way Acquisition Training
- Title VI Training
- Project Development Process Training

## Documents to be Submitted

- Organizational Chart (updated chart that identifies by name and title/position of non-consultant staff that will participate in the LAP certification or recertification process)
  - Current Title VI assurances and Non-discrimination agreement (NDA) or Title VI Plan if applicable
  - Written policies and procedures which will be used to procure architecture and engineering services using Federal-Aid funds, which are in accordance with §172.5(b)(1).
- Copy of the LAP Manual Training Certificate
- Copy of the Right-of-Way Acquisition Training Certificate
- Copy of the Title VI Training Certificate
- Copy of the PDP Manual Training Certificate
- Copy (PDF) of State of Georgia PE License from Professional Licensing, Georgia

Secretary of State website with expiration date

A letter addressing its capabilities, staff and experience in the specific areas where certification is requested, namely design, right-of-way, estimates, construction, bid and award, environmental, consultant selection, and ability to match federal funds

## LAP Certification Information

Date: \_\_\_\_\_

Agency Name: \_\_\_\_\_

Type of Certification Status: CA \_\_\_\_\_ Non-CA Options 1: \_\_\_\_\_ Option 2 \_\_\_\_\_

GDOT District: \_\_\_\_\_ Congressional District: \_\_\_\_\_

Interview Conducted By (GDOT) Name: \_\_\_\_\_

Title: \_\_\_\_\_

Agency Representative (Local) Name: \_\_\_\_\_

Title: \_\_\_\_\_

How Long in Current Position? \_\_\_\_\_

Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ County: \_\_\_\_\_ Zip Code: \_\_\_\_\_

## Local Administered Projects Responsible Charge Worksheet

List the Name and Position Responsible for the Following Functions. Only list Non-Consultant staff positions within your organization. (Attach the most current organizational chart. The Local Agency must notify the Department within 30-days of any name or position changes.)

Statewide Transportation Improvement Program:

Selection of Annual Program: \_\_\_\_\_

Location/Design Approval: \_\_\_\_\_

Environmental Documents: \_\_\_\_\_

PS&E Approval: \_\_\_\_\_

Tied Bids: \_\_\_\_\_

Approval of Materials Sources: \_\_\_\_\_

Construction Administration: \_\_\_\_\_

Construction Inspection: \_\_\_\_\_

Acceptance Sampling/Testing: \_\_\_\_\_

Change Orders: \_\_\_\_\_

Project Files: \_\_\_\_\_

OEO Interviews/Monitoring: \_\_\_\_\_

Training Goal Attainment: \_\_\_\_\_

DBE Compliance/Monitoring: \_\_\_\_\_

Utility Certification: \_\_\_\_\_

Row Certification: \_\_\_\_\_

### Consultants

For what areas does the agency expect to use consultants?

\_\_\_ ☐ Environmental

\_\_\_ ☐ Design

\_\_\_ ☐ PS&E Preparation

\_\_\_ ☐ Right-of-Way Appraisal

\_\_\_ ☐ Right-of-Way Negotiation

\_\_\_ ☐ Utilities

\_\_\_ ☐ Right-of-Way Relocation

\_\_\_ ☐ Construction Administration

\_\_\_ ☐ Construction Inspection

\_\_\_ ☐ Surveying

\_\_\_ ☐ Sampling and Testing

***If there is an organizational change this document must be updated within 30days.***

## Section A - Title VI - Civil Rights Performance & Assessment Questionnaire

1. Do you have a Title VI Policy, Title VI Notice to the Public, Title VI Assurances and Title VI Plan or non-discrimination agreement in place? Provide proof of your Title VI policy (via web or printed materials)

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2. Please provide a copy of your Title VI complaint procedure for discrimination complaints? What extent is the community aware of it?

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3. Have you received any Title VI related complaints during the past two years? If so, how many? (Please attach the complaint form) What were the outcomes? Where there any Title VI complaints lodged by beneficiaries or participants? If so, explain the issues involved.

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4. What is the name and title of the person who attended the GDOT Title VI training? Please provide the date and a copy of the training certificate?

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5. Are minority members of the community invited to participate in public hearings? If yes, how do you identify potential EJ groups? How do you ensure they attend? If not, what measures have been taken to ensure public participation in public hearings?

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6. Are DBE goals being monitored, included and met for contracts on a programmatic level? If yes, please provide a brief explanation. If not, what provisions have been taken to monitor and meet them?

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7. Are minority contractors and subcontractors being informed about contracting opportunities with your organization? If yes, provide proof of contracting opportunities to minority contractors. If not, what provisions have been taken to inform minority contractors of contracting opportunities?

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8. Are Appendix A of the Title VI assurances and the FHWA 1273 being included in all contracts, subcontracts, and material supply agreements? Provide a sample contract of the inclusion of Appendix A of the Title VI Assurances & FHWA 1273.

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9. If you have not done any of the above, please explain how you will address Title VI Federal requirements on Local Administered projects?

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## Section B - Environmental Questionnaire

1. How many types of Environmental Documents listed below are active under development?

\_\_\_\_\_ Programmatic Categorical Exclusions (PCE – approved by GDOT)

\_\_\_\_\_ Categorical Exclusions (CE – approved by FHWA)

\_\_\_\_\_ Environmental Assessments/Findings of No Significant Impact (EA/FONSI – approved by FHWA)

\_\_\_\_\_ Environmental Impact Statement (EIS – approved by FHWA)

2. Have you had any Environmental Documents of the types listed below in the past three years?

\_\_\_\_\_ Programmatic Categorical Exclusions (PCE – approved by GDOT)

\_\_\_\_\_ Categorical Exclusions (CE – approved by FHWA)

\_\_\_\_\_ Environmental Assessments/Findings of No Significant Impact (EA/FONSI – approved by FHWA)

\_\_\_\_\_ Environmental Impact Statement (EIS – approved by FHWA)

3. For each document type noted above, what was the average number of review cycles required with GDOT staff to receive NEPA approval or submittal to FHWA? (A cycle is considered each time comments are received without GDOT approval or forwarding to FHWA.)

\_\_\_\_\_ PCE    \_\_\_\_ CEs    \_\_\_\_ EA/FONSI    \_\_\_\_ EIS

4. For the approved documents noted in #2 above, how many approvals were received:

\_\_\_\_\_ On schedule or ahead of schedule as per the approved schedule required by the Project Framework Agreement

\_\_\_\_\_ After the baseline schedule deadline and less than 3 months late

\_\_\_\_\_ After the baseline schedule deadline and between 3 and 6 months late

\_\_\_\_\_ After the baseline schedule deadline and between 6 and 12 months late

\_\_\_\_\_ After the baseline schedule deadline and more than 12 months late

Please describe the specific reasons for the approval delays noted above. Use additional sheets as necessary.

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5. List any and all public involvement methods utilized during the environmental process.  
Use additional sheets as necessary.

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6. How many applications were submitted by the LPA for approval by the Army Corps of Engineers (USACE) and/or Georgia Department of Natural Resources, Environmental Protection Division (EPD)?

\_\_\_\_\_ Section 404 Permits from USACE Individual \_\_\_\_ Regional \_\_\_\_ Nationwide \_\_\_\_  
 \_\_\_\_\_ Stream Buffer Variances from Georgia Environmental Protection Division (EPD)

7. For each permit type noted above, what was the average number of review cycles required with GDOT staff for submittal to the Army Corps or EPD? (A cycle is considered each time comments are received from GDOT without forwarding to the Corps or EPD.)

\_\_\_\_\_ Section 404 Permit from USACE Individual \_\_\_\_ Regional \_\_\_\_ Nationwide \_\_\_\_  
 \_\_\_\_\_ Stream Buffer Variances from Georgia Environmental Protection Division (EPD)

8. For the approved permits noted in #7 above, how many approvals were received:

\_\_\_\_\_ 11 or more weeks prior to the GDOT baseline let date  
 \_\_\_\_\_ 5-11 weeks prior to the GDOT baseline let date  
 \_\_\_\_\_ After 5 weeks prior to the GDOT baseline let date

Please describe the specific reasons for the approval delays noted above. Use additional sheets as necessary.

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9. Please describe any improvements that your agency or GDOT can implement to improve the delivery of environmental approvals or permits. Use additional sheets as necessary.

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10. If you have not done any of the above, please explain how you plan to complete Environmental documents for Local Administered Projects?

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## Section C - Right of Way Questionnaire

1. Any consultant **CONTRACTED** for negotiation services for the acquisition of right of way for the County/City must either:

- \_\_\_\_\_ Hold an active Real Estate license in the State of Georgia or
- \_\_\_\_\_ Hold an active Real Estate broker's license in the State of Georgia or
- \_\_\_\_\_ Be identified as an exception under OCGA 43-40-29

2. Any contracted **CONSULTANT** for negotiation services or staff negotiator performing negotiation services must have attended the GDOT/FHWA training class every 3 years and hold an active certificate. Provide a copy of the certificate.

3. Please describe your quality assurance and quality control methods to manage the ROW in the following areas:

a. ROW Project Activity Milestone Delivery: (i.e. schedule development and management recovery)

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b. ROW Project Budget (i.e. development, monitoring and overruns)

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c. ROW Project Risks associated with adhering to scope, schedule and budget (i.e. mitigation plan)

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d. ROW Consultant Services (i.e. development and monitoring) when applicable

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4. Identify the responsible party and title of staff certifying ROW.

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5. Has your LPA received any non-compliance letters or corrective actions? If yes, who provided the service, explain non-compliance?

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6. Who will perform the Right of Way Acquisition services? (Please check all that apply)

\_\_\_\_\_ Staff

\_\_\_\_\_ Consultants

\_\_\_\_\_ Both

7. If you have not performed any of the above activities, how do you plan to perform Right-of-Way functions for Local Administered Projects?

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## Section D - Utility Division Questionnaire

### **Local Utility Compliance**

1. Name and Title of individual or individuals that will be or have been responsible for Utility Coordination work.

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2. In brief and concise sentences, please describe your knowledge of the GDOT's Utility Accommodation Policies and Standards Manual in relation to Utility Coordination work on project (use additional sheets).

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3. In brief and concise sentences, please describe your work experiences that demonstrate your ability to coordinate with utilities during the preconstruction phase on transportation projects (use additional sheets).

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4. In brief and concise sentences, please describe your ability to provide professional engineering services necessary to ensure utility impacts do not delay the project schedule on both the preconstruction phase or construction phase (use additional sheets)

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5. If you have not done any of the above, please explain how you will perform Utility activities on Local Administered Projects?

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## Section E - Construction Division Questionnaire

### **Advertisement, Award, and Execution of Contract**

Position Responsible for:

Approval to Advertise \_\_\_\_\_

Name of Legal Publication \_\_\_\_\_

Prequalification of Bidders \_\_\_\_\_

Award of Contract \_\_\_\_\_

Execution of Contract \_\_\_\_\_

### **Construction Supervision and Administration**

Name and Title of individual or individuals that will be responsible for Construction Supervision and Administration: \_\_\_\_\_

Describe the Local Governments experience with construction supervision and inspection related to transportation construction projects:

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Will daily Construction Supervision and Inspection be handled by the Local Government or by a Consultant Firm? \_\_\_\_\_

If Local Government is using a Consultant Firm, is the Firm under a current contract with the Local Government? \_\_\_\_\_

If so, what is the name of the Firm? \_\_\_\_\_

Is the Firm pre-qualified under the Department's 8.01 Consultant Work Classification? \_\_\_\_\_

If a Consultant Firm is used, how will the Local Government monitor the Consultant's work?

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Name and Title of individual who will check contractor payrolls?

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How will the Local Government handle administration of more than one contract at a time?

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How will Local Government handle inspection and administration of several active phases of a project concurrent (e.g. grading, drainage, paving, structures)?

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### **Change Orders/Contract Modifications**

What is the Local Government's current change order process, including approval levels and final signature required for execution?

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Describe the Local Government's requirements for documenting Contractor activities and making measurement and payment for project bid items.

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Describe the Local Governments process for subcontract approval(s).

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### **Material Testing and Approval**

Describe the Local Governments experience with use of materials approved by the Georgia Department of Transportation.

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Describe the Local Governments experience with materials testing related to transportation construction projects.

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Will materials testing and certification be done by the Local Government or by a Consultant Firm? \_\_\_\_\_

If Local Government is using a Consultant Firm, is the Firm under a current contract with the Local Government? \_\_\_\_\_

If so, what is the name of the Firm?

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Is the Firm pre-qualified under the Department's 6.04a and 6.04b Consultant Work Classifications?

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Is the Local Government planning and developing any projects that may contain and bridges or structures?

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If yes, does the Local Government or its Consultant have PCI certified inspection personnel or will the Local Government request the assistance of GDOT for inspection and approval?

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Does the Consultant have ASNT (American Society of Nondestructive Testing) Level III certified welding inspectors for steel bridges?

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Does the Consultant have ASNT certified VT or MT inspectors? (visual and magnetic particle)

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### **Policies and Manuals**

Is the Local Government in possession of the current edition of the following policies and manuals? (Check answer that applies)

GDOT Construction Manual ☐ yes ☐ no

GDOT Sampling, Testing and Inspection Guide ☐ yes ☐ no

GDOT Standard Specification ☐ yes ☐ no

MUTCD ☐ yes ☐ no

Manual for Erosion and Sedimentation Control in Georgia ☐ yes ☐ no

### Schedule/Workload

If any, list the Local Governments schedule of Federal Aid Projects and their projected Construction Begin Date.

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### Delivery Performance & Quality Assurance

- Who is responsible for ensuring that payments are in line with percent complete activities (as approved by LPA and GDOT)?

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- Who is responsible for developing the initial Gantt Chart construction schedule identifying the key milestones along with the critical paths?

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- How is the construction schedule monitored to determine monthly performance?

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- What industry methods have been implemented to mitigate construction risks and delays?

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- What assurances are in place to measure and document quality control performance?

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## Section F - Procurement of Engineering and Design Related Services

### Questionnaire

**Please answer the following questions specific to “Procurement, Management, and Administration of Engineering and Design Related Services” for Federal-Aid projects to enable the Department to determine compliance with 23 CFR 172.**

1. How many procurements for architecture and engineering services for contracts to be funded with Federal Aid Highway Program funds are anticipated and what type of services will be procured?

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2. Provide the written policies and procedures which will be used to procure architecture and engineering services using Federal-Aid funds, which are in accordance with §172.5(b)(1). If none are available, describe the process followed from beginning to end.

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3. How will the solicitations be announced, advertised, or published in a public forum or method that assured qualified in-state and out-of-state consultants were given a fair opportunity to be considered? How long will the projects be advertised?

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a. What selection criteria will be utilized and what is the range of associated weights which will be applied for each selection criteria?

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b. Describe the information which will be included in the resulting evaluation, ranking and selection packages for each consultant selection. What is the minimum number of statements of qualifications which must be received in order to proceed? What are the anticipated DBE Goals for each contract?

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4. Compliance with 23 CFR 172.7(a)(1)(v) and 23 CFR172.11: After the selection process is completed, describe the negotiation process which will be utilized to determine a fair and reasonable cost for the services provided.

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5. What contract types (project specific, multi-phase project specific, on call/Indefinite Delivery/Indefinite Quantity (IDIQ) are anticipated to be procured?

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6. If utilizing on call/IDIQ contracts, what will be the maximum contract term?

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7. If you have not done any of the above, please explain how you plan to perform Construction Activities on Local Administered Projects?

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## Section G - Certification Acceptance Qualification Agreement

**The agency agrees to comply with the following requirements when developing all Federal Highway Administration (FHWA) projects under GDOT's Qualification Certification Agreement.**

1. Adherence to the *Local Administered Project Manual* and all policies and procedures promulgated by the Georgia Department of Transportation (GDOT) which accomplish the policies and objectives set forth in Title 23, U.S. Code, Highways, and the regulations issued pursuant thereto.
2. All projects will be constructed in conformance with the GDOT current *Standard Specifications for Road, Bridge, and* such specifications that modify these Specifications as appropriate.
3. Construction administration and material sampling and testing will be accomplished in accordance with the GDOT *Construction Manual* and the *Local Administered Project Manual*.
4. All projects under Certification Acceptance shall be available for review by the FHWA and/or GDOT at any time and all project documents shall be retained and available for inspection during the plan development and construction stages and for a three year period following acceptance of the project by GDOT.
5. Approval of the local agency certification by the GDOT may be rescinded at any time upon local agency request or if, in the opinion of the LAP Certification Committee, it is necessary to do so. The rescission may be applied to all or part of the programs or projects approved in the local agency certification. The Local Government accepts liability to reimburse the GDOT and FHWA for all accrued payments received for applicable projects not complying with this agreement.

Recommendation(s) of action to be taken by Agency from GDOT Reviewer:

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- \_\_\_\_\_ Full administration by agency of all projects
- \_\_\_\_\_ Administration by agency on a project-by-project basis
- \_\_\_\_\_ Non – CA Status Option 1
- \_\_\_\_\_ Non – CA Status Option 2
- \_\_\_\_\_ Deny approval for Certification Acceptance



## Section H- Certification Appeal Process

If certification has been denied, the Local Public Agency will then receive a letter explaining the reasons for denial. The LPA can then appeal any deficiencies found within 30 days. GDOT will then approve or deny the appeal based on additional information provided by the LPA.

LOCAL GOVERNMENT, Georgia

Title: \_\_\_\_\_

This \_\_\_\_\_ day of \_\_\_\_\_,

20\_\_\_, in the presence of:

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Witness

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Notary Public

**GEORGIA DEPARTMENT OF TRANSPORTATION**

**Approved By:** \_\_\_\_\_

**Program Control Administrator** **Date**

LAP Re-Certification Application

<http://www.dot.ga.gov/PartnerSmart/Local/Documents/LAPRe-Certification.pdf>



# Georgia Department of Transportation



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## Local Administered Projects

## Re-Certification

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The LAP Re-certification application will be used to determine if Local Public Agencies will remain qualified to administer federal-aid projects. The GDOT serves as the prime recipient of federal transportation funds. In accordance with 23 Code of Federal Regulation Part 635.105, GDOT is the supervising agency; as such, it is responsible for authorizing performance of the work by the Local Agency on all Federal-aid projects. Each Local Agency is required to recertify after a period of three years. Each local Agency is also required to take the following training and submit a certificate of completion: Local Administered Projects Training, Right-of-Way Acquisition Training for LAPs, Title VI Training and Project Development Process Training. Please complete the questions provided in this application to ensure a complete review of submitted materials.

If you have any questions about the application please contact the Office of Program Control at 404-631-1536. For additional information please visit the Local Programs website at

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(<http://www.dot.ga.gov/Projects/programs/Pages/GRIP.aspx>)

**GRTA** – Georgia Regional Transportation Authority (<http://www.grta.org/>)

**HCM** – Highway Capacity Manual (see **References** for additional information)

**HCS** – Highway Capacity Software (<http://mctrans.ce.ufl.edu/hcs/>)

**HOV** – High Occupancy Vehicle

**IA** – Independent Assurance

**ISTEA**- Intermodal Surface Transportation Equity Act

([http://www.bts.gov/laws\\_and\\_regulations/](http://www.bts.gov/laws_and_regulations/))

**ITE** – Institute of Transportation Engineers (<http://www.ite.org/>)

**L/A** – Limited Access

**LARP** – Local Assistance Road Program

**MPO** – Metropolitan Planning Organization

**MUTCD** – Manual on Uniform Traffic Control Devices (FHWA) see **References** for additional information

**NHS** – National Highway System

**OCGA** – Official Code of Georgia (<http://www.lexis-nexis.com/hottopics/gacode/default.asp>)

**OES** – (GDOT) Office of Environmental Services

**OMR** – GDOT’s Office of Materials and Research.

**PDP** – (GDOT) Plan Development Process

**PE** – Preliminary Engineering

**PFPR** – Preliminary Field Plan Review

**PHV** – Peak Hour Volume

**PM** – Preventive Maintenance

**PNRC** – Project Nomination Review Committee

**QPL** – (GDOT) Qualified Products List

**RCInfo** – Roadway Characteristics Information

**RDG** – (AASHTO) Roadside Design Guide

([https://bookstore.transportation.org/item\\_details.aspx?ID+148](https://bookstore.transportation.org/item_details.aspx?ID+148))

**ROW** – Right-of-Way

**RTT** – Roadway Testing Technician as certified by GDOT

**RTV** – Right Turn Volume

**SPUI** – Single Point Urban Interchange

**SRTA** – State Road and Tollway Authority

**STARS** – (Georgia) State Traffic and Report Statistics

(<http://www.dot.ga.gov/informationcenter/statistics/Pages/default.aspx>)

**STI** – GDOT Sampling, Testing and Inspection Manual which is located on the GDOT website under “The Source”.

**STIP** – State Transportation Improvement Plan.

**SWTP** – Statewide Transportation Plan

(<http://www.dot.ga.gov/Projects/programs/Pages/SSTP.aspx>)

**TIP** – Transportation Improvement Program

**TMOS**- Testing Management Operations Supervisor

**POLICY AND PROCEDURE** – Transportation Online Policy and Procedure System

(<http://www.dot.ga.gov/Policy and Procedure/index.shtml>)

**UAM** – (GDOT) Utility Accommodation Policy and Standards Manual.

<http://www.dot.ga.gov/doingbusiness/utilities/Pages/manual.aspx>

**VT** – Verification Testing

## LAP Re-Certification Information

Date: \_\_\_\_\_

Agency Name: \_\_\_\_\_

Type of Certification Status: CA \_\_\_\_\_ Non-CA Options 1: \_\_\_\_\_ Option 2 \_\_\_\_\_

GDOT District: \_\_\_\_\_ Congressional District: \_\_\_\_\_

Interview Conducted By (GDOT) Name: \_\_\_\_\_

Title: \_\_\_\_\_

Agency Representative (Local) Name: \_\_\_\_\_

Title: \_\_\_\_\_

How Long in Current Position? \_\_\_\_\_

Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ County: \_\_\_\_\_ Zip Code: \_\_\_\_\_

## Local Administered Projects Responsible Charge Worksheet

List the Name and Position Responsible for the Following Functions. Only list Non-Consultant staff positions within your organization. (Attach the most current organizational chart. The Local Agency must notify the Department within 30-days of any name or position changes.)

Statewide Transportation Improvement Program: \_\_\_\_\_

Selection of Annual Program: \_\_\_\_\_

Location/Design Approval: \_\_\_\_\_

Environmental Documents: \_\_\_\_\_

PS&E Approval: \_\_\_\_\_

Tied Bids: \_\_\_\_\_

Approval of Materials Sources: \_\_\_\_\_

Construction Administration: \_\_\_\_\_

Construction Inspection: \_\_\_\_\_

Acceptance Sampling/Testing: \_\_\_\_\_

Change Orders: \_\_\_\_\_

Project Files: \_\_\_\_\_

OEO Interviews/Monitoring: \_\_\_\_\_

Training Goal Attainment: \_\_\_\_\_

DBE Compliance/Monitoring: \_\_\_\_\_

Utility Certification: \_\_\_\_\_

Row Certification: \_\_\_\_\_

### Consultants

For what areas does the agency expect to use consultants?

\_\_\_ ☐ Environmental

\_\_\_ ☐ Right-of-Way Relocation

\_\_\_ ☐ Design

\_\_\_ ☐ Construction Administration

\_\_\_ ☐ PS&E Preparation

\_\_\_ ☐ Construction Inspection

\_\_\_ ☐ Right-of-Way Appraisal

\_\_\_ ☐ Surveying

\_\_\_ ☐ Right-of-Way Negotiation

\_\_\_ ☐ Sampling and Testing

\_\_\_ ☐ Utilities

***If there is an organizational change this document must be updated within 30days.***

## Section A - Title VI - Civil Rights Performance & Assessment Questionnaire

1. Do you have a Title VI Policy, Title VI Notice to the Public, Title VI Assurances and Title VI Plan or non-discrimination agreement in place? Provide proof of your Title VI policy (via web or printed materials)

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2. Please provide a copy of your Title VI complaint procedure for discrimination complaints? What extent is the community aware of it?

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3. Have you received any Title VI related complaints during the past two years? If so, how many? (Please attach the complaint form) What were the outcomes? Where there any Title VI complaints lodged by beneficiaries or participants? If so, explain the issues involved.

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4. What is the name and title of the person who attended the GDOT Title VI training? Please provide the date and a copy of the training certificate?

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5. Are minority members of the community invited to participate in public hearings? If yes, how do you identify potential EJ groups? How do you ensure they attend? If not, what measures have been taken to ensure public participation in public hearings?

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6. Are DBE goals being monitored, included and met for contracts on a programmatic level? If yes, please provide a brief explanation. If not, what provisions have been taken to monitor and meet them?

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7. Are minority contractors and subcontractors being informed about contracting opportunities with your organization? If yes, provide proof of contracting opportunities to minority contractors. If not, what provisions have been taken to inform minority contractors of contracting opportunities?

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8. Are Appendix A of the Title VI assurances and the FHWA 1273 being included in all contracts, subcontracts, and material supply agreements? Provide a sample contract of the inclusion of Appendix A of the Title VI Assurances & FHWA 1273.

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## Section B - Environmental Questionnaire

1. How many types of Environmental Documents listed below are active under development?

\_\_\_\_\_ Programmatic Categorical Exclusions (PCE – approved by GDOT)

\_\_\_\_\_ Categorical Exclusions (CE – approved by FHWA)

\_\_\_\_\_ Environmental Assessments/Findings of No Significant Impact (EA/FONSI – approved by FHWA)

\_\_\_\_\_ Environmental Impact Statement (EIS – approved by FHWA)

2. How many of the following environmental document types were approved during the past 3 years?

\_\_\_\_\_ Programmatic Categorical Exclusions (PCE – approved by GDOT)

\_\_\_\_\_ Categorical Exclusions (CE – approved by FHWA)

\_\_\_\_\_ Environmental Assessments/Findings of No Significant Impact (EA/FONSI – approved by FHWA)

\_\_\_\_\_ Environmental Impact Statement (EIS – approved by FHWA)

3. For each document type noted above, what was the average number of review cycles required with GDOT staff to receive NEPA approval or submittal to FHWA? (A cycle is considered each time comments are received without GDOT approval or forwarding to FHWA.)

\_\_\_\_\_ PCE    \_\_\_\_ CEs    \_\_\_\_ EA/FONSI    \_\_\_\_ EIS

4. For the approved documents noted in #2 above, how many approvals were received:

\_\_\_\_\_ On schedule or ahead of schedule as per the approved schedule required by the Project Framework Agreement

\_\_\_\_\_ After the baseline schedule deadline and less than 3 months late

\_\_\_\_\_ After the baseline schedule deadline and between 3 and 6 months late

\_\_\_\_\_ After the baseline schedule deadline and between 6 and 12 months late

\_\_\_\_\_ After the baseline schedule deadline and more than 12 months late

Please describe the specific reasons for the approval delays noted above. Use additional sheets as necessary.

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5. List any and all public involvement methods utilized during the environmental process. Use additional sheets as necessary.

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6. How many applications were submitted by the LPA for approval by the Army Corps of Engineers (USACE) and/or Georgia Department of Natural Resources, Environmental Protection Division (EPD)?

\_\_\_\_\_ Section 404 Permits from USACE Individual \_\_\_\_\_ Regional \_\_\_\_\_ Nationwide \_\_\_\_\_  
 \_\_\_\_\_ Stream Buffer Variances from Georgia Environmental Protection Division (EPD)

7. For each permit type noted above, what was the average number of review cycles required with GDOT staff for submittal to the Army Corps or EPD? (A cycle is considered each time comments are received from GDOT without forwarding to the Corps or EPD.)

\_\_\_\_\_ Section 404 Permit from USACE Individual \_\_\_\_\_ Regional \_\_\_\_\_ Nationwide \_\_\_\_\_  
 \_\_\_\_\_ Stream Buffer Variances from Georgia Environmental Protection Division (EPD)

8. For the approved permits noted in #7 above, how many approvals were received:

\_\_\_\_\_ 11 or more weeks prior to the GDOT baseline let date  
 \_\_\_\_\_ 5-11 weeks prior to the GDOT baseline let date  
 \_\_\_\_\_ After 5 weeks prior to the GDOT baseline let date

Please describe the specific reasons for the approval delays noted above. Use additional sheets as necessary.

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9. Please describe any improvements that your agency or GDOT can implement to improve the delivery of environmental approvals or permits. Use additional sheets as necessary.

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## Section C - Right of Way Questionnaire

1. Any consultant **CONTRACTED** for negotiation services for the acquisition of right of way for the County/City must either:

- \_\_\_\_\_ Hold an active Real Estate license in the State of Georgia or
- \_\_\_\_\_ Hold an active Real Estate broker's license in the State of Georgia or
- \_\_\_\_\_ Be identified as an exception under OCGA 43-40-29

2. Any contracted **CONSULTANT** for negotiation services or staff negotiator performing negotiation services must have attended the GDOT/FHWA training class every 3 years and hold an active certificate. Provide a copy of the certificate.

3. Please describe your quality assurance and quality control methods to manage the ROW in the following areas:

a. ROW Project Activity Milestone Delivery: (i.e. schedule development and management recovery)

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b. ROW Project Budget (i.e. development, monitoring and overruns)

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c. ROW Project Risks associated with adhering to scope, schedule and budget (i.e. mitigation plan)

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d. ROW Consultant Services (i.e. development and monitoring) when applicable

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4. Identify the responsible party and title of staff certifying ROW.

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5. Has your LPA received any non-compliance letters or corrective actions? If yes, explain?

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6. Who performed the Right of Way Acquisition services? (Please check all that apply)

\_\_\_\_\_ Staff

\_\_\_\_\_ Consultants

## Section D - Utility Division Questionnaire

### **Local Utility Compliance**

1. Name and Title of individual or individuals that will be or have been responsible for Utility Coordination work.

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2. In brief and concise sentences, please describe your knowledge of the GDOT's Utility Accommodation Policies and Standards Manual in relation to Utility Coordination work on project (use additional sheets).

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3. In brief and concise sentences, please describe your work experiences that demonstrate your ability to coordinate with utilities during the preconstruction phase on transportation projects (use additional sheets).

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4. In brief and concise sentences, please describe your ability to provide professional engineering services necessary to ensure utility impacts do not delay the project schedule on both the preconstruction phase or construction phase (use additional sheets).

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## Section E - Construction Division Questionnaire

**Please answer the following questions for your 3 most recent Federal-Aid projects**

**Project 1      PI# \_\_\_\_\_**

### **Bidding, Letting & Award Compliance**

1. What was the date of initial authorization of construction funds?  
\_\_\_\_\_
2. What was the date of advertisement for the letting and how long was it advertised?  
\_\_\_\_\_
3. What was the name(s) of the newspaper/publication in which the project was advertised?  
\_\_\_\_\_  
\_\_\_\_\_
4. How many bids were accepted? How many bids were rejected? What was the reason for the rejection?  
\_\_\_\_\_  
\_\_\_\_\_
5. Explain the process for evaluating bids. Was the lowest bidder awarded the project? If not, please provide documentation supporting the Local Government's reason(s) for not awarding to lowest bidder. (i.e. Responsive or Un-Balanced Bids, etc.).  
\_\_\_\_\_  
\_\_\_\_\_
6. Were performance/payment bonds received? \_\_\_\_\_
7. When was the project awarded to the low bid contractor (date)?  
\_\_\_\_\_
8. When was the Notice to Proceed issued to the contractor (date) and was it more than 270 days from GDOT authorization?  
\_\_\_\_\_
9. Was a preconstruction conference held? If so, please provide documentation of the meeting. If not, please provide justification for not conducting?  
\_\_\_\_\_  
\_\_\_\_\_

## DBE Goals

What was the DBE Goal for the Project? \_\_\_\_\_

Who were the DBE subcontractors? \_\_\_\_\_

Was the DBE goal met? Explain? \_\_\_\_\_

If so, what was the final goal? \_\_\_\_\_

If not, what was the final participation amount and reason(s) for not meeting the Goal?

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## Construction Process

Please provide a copy of the Construction Agreement between the local government and the contractor for the Department to review

## Specification Compliance

Provide a project description.

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Please describe major items of work.

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What was the specification section numbers used for major work items listed above?

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## Schedule

Was the project completed on time by the date provided in the construction agreement?

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Was the Project ever greater than 15% behind schedule overall? \_\_\_\_\_

If so, please provide details including, but not limited to, percent behind schedule, reasons for not meeting schedule, actions taken to remedy, etc.

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Please provide a copy of the QA agreement noted on OM-LAP v6. Was the form signing date before or after NTP? \_\_\_\_\_

**Measurements & Payments (Change Orders and Claims, etc.)**

How was measurement and payment made and documented for the Project?

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Were the quantities verified or approved by the Department within the time specified in the agreement, if no please explain? \_\_\_\_\_

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Were there any payments that weren't prompt? \_\_\_\_\_

**Project Close-out**

Was a closing conference held? \_\_\_\_\_

Was a final inspection held? \_\_\_\_\_

Was a Punch List developed? If so, please provide a copy. \_\_\_\_\_

Materials Certificate date? \_\_\_\_\_

Were any issues noted on the materials certificate? \_\_\_\_\_

Was there a requirement for a Disposition Form for substandard materials or work? If so what was not to standard? \_\_\_\_\_

*Note: If issues were noted a disposition is required (please attach disposition if this applies). Letters of disposition will not substitute for missing tests across the board.*

When was Final Acceptance granted by the Department? \_\_\_\_\_

What was the amount of time from the date of work complete/time stop to the Final Acceptance date? If greater than 6 months, please provide reason(s).

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## Project 2

Project 1      PI# \_\_\_\_\_

### Bidding, Letting & Award Compliance

1. What was the date of initial authorization of construction funds?  
\_\_\_\_\_
2. What was the date of advertisement for the letting and how long was it advertised?  
\_\_\_\_\_
3. What was the name(s) of the newspaper/publication in which the project was advertised?  
\_\_\_\_\_  
\_\_\_\_\_
4. How many bids were accepted? How many bids were rejected? What was the reason for the rejection?  
\_\_\_\_\_  
\_\_\_\_\_
5. Explain the process for evaluating bids. Was the lowest bidder awarded the project? If not, please provide documentation supporting the Local Government's reason(s) for not awarding to lowest bidder. (i.e. Responsive or Un-Balanced Bids, etc.).  
\_\_\_\_\_  
\_\_\_\_\_
6. Were performance/payment bonds received? \_\_\_\_\_
7. When was the project awarded to the low bid contractor (date)?  
\_\_\_\_\_
8. When was the Notice to Proceed issued to the contractor (date) and was it more than 270 days from GDOT authorization?  
\_\_\_\_\_
9. Was a preconstruction conference held? If so, please provide documentation of the meeting. If not, please provide justification for not conducting?  
\_\_\_\_\_  
\_\_\_\_\_

### **DBE Goals**

What was the DBE Goal for the Project? \_\_\_\_\_

Who were the DBE subcontractors? \_\_\_\_\_

Was the DBE goal met? Explain? \_\_\_\_\_

If so, what was the final goal? \_\_\_\_\_

If not, what was the final participation amount and reason(s) for not meeting the Goal?

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### **Construction Process**

Please provide a copy of the Construction Agreement between the local government and the contractor for the Department to review

### **Specification Compliance**

Provide a project description.

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Please describe major items of work.

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What were the specification section numbers used for major work items listed above?

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### **Schedule**

Was the project completed on time by the date provided in the construction agreement?

---

Was the Project ever greater than 15% behind schedule overall? \_\_\_\_\_

If so, please provide details including, but not limited to, percent behind schedule, reasons for not meeting schedule, actions taken to remedy, etc.

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Please provide a copy of the QA agreement noted on OM-LAP v6. Was the form signing date before or after NTP? \_\_\_\_\_

**Measurements & Payments (Change Orders and Claims, etc.)**

How was measurement and payment made and documented for the Project?

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Were the quantities verified or approved by the Department within the time specified in the agreement, if no please explain? \_\_\_\_\_

---

Were there any payments that weren't prompt? \_\_\_\_\_

**Project Close-out**

Was a closing conference held? \_\_\_\_\_

Was a final inspection held? \_\_\_\_\_

Was a Punch List developed? If so, please provide a copy. \_\_\_\_\_

Materials Certificate date? \_\_\_\_\_

Were any issues noted on the materials certificate? \_\_\_\_\_

Was there a requirement for a Disposition Form for substandard materials or work? If so what was not to standard? \_\_\_\_\_

*Note: If issues were noted a disposition is required (please attach disposition if this applies). Letters of disposition will not substitute for missing tests across the board.*

When was Final Acceptance granted by the Department? \_\_\_\_\_

What was the amount of time from the date of work complete/time stop to the Final Acceptance date? If greater than 6 months, please provide reason(s).

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### Project 3

Project 1      PI# \_\_\_\_\_

#### Bidding, Letting & Award Compliance

1. What was the date of initial authorization of construction funds?  
\_\_\_\_\_
  
2. What was the date of advertisement for the letting and how long was it advertised?  
\_\_\_\_\_  
\_\_\_\_\_
  
3. What was the name(s) of the newspaper/publication in which the project was advertised?  
\_\_\_\_\_  
\_\_\_\_\_
  
4. How many bids were accepted? How many bids were rejected? What was the reason for the rejection?  
\_\_\_\_\_  
\_\_\_\_\_
  
5. Explain the process for evaluating bids. Was the lowest bidder awarded the project? If not, please provide documentation supporting the Local Government's reason(s) for not awarding to lowest bidder. (i.e. Responsive or Un-Balanced Bids, etc.).  
\_\_\_\_\_  
\_\_\_\_\_
  
6. Were performance/payment bonds received? \_\_\_\_\_
  
7. When was the project awarded to the low bid contractor (date)?  
\_\_\_\_\_
  
8. When was the Notice to Proceed issued to the contractor (date) and was it more than 270 days from GDOT authorization?  
\_\_\_\_\_
  
9. Was a preconstruction conference held? If so, please provide documentation of the meeting. If not, please provide justification for not conducting?  
\_\_\_\_\_  
\_\_\_\_\_

### **DBE Goals**

What was the DBE Goal for the Project? \_\_\_\_\_

Who were the DBE subcontractors? \_\_\_\_\_

Was the DBE goal met? Explain? \_\_\_\_\_

If so, what was the final goal? \_\_\_\_\_

If not, what was the final participation amount and reason(s) for not meeting the Goal?

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### **Construction Process**

Please provide a copy of the Construction Agreement between the local government and the contractor for the Department to review

### **Specification Compliance**

Provide a project description.

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Please describe major items of work.

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What were the specification section numbers used for major work items listed above?

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### **Schedule**

Was the project completed on time by the date provided in the construction agreement?

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Was the Project ever greater than 15% behind schedule overall? \_\_\_\_\_

If so, please provide details including, but not limited to, percent behind schedule, reasons for not meeting schedule, actions taken to remedy, etc.

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---

Please provide a copy of the QA agreement noted on OM-LAP v6. Was the form signing date before or after NTP? \_\_\_\_\_

**Measurements & Payments (Change Orders and Claims, etc.)**

How was measurement and payment made and documented for the Project?

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Were the quantities verified or approved by the Department within the time specified in the agreement, if no please explain? \_\_\_\_\_

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Were there any payments that weren't prompt? \_\_\_\_\_

**Project Close-out**

Was a closing conference held? \_\_\_\_\_

Was a final inspection held? \_\_\_\_\_

Was a Punch List developed? If so, please provide a copy. \_\_\_\_\_

Materials Certificate date? \_\_\_\_\_

Were any issues noted on the materials certificate? \_\_\_\_\_

Was there a requirement for a Disposition Form for substandard materials or work? If so what was not to standard? \_\_\_\_\_

*Note: If issues were noted a disposition is required (please attach disposition if this applies). Letters of disposition will not substitute for missing tests across the board.*

When was Final Acceptance granted by the Department? \_\_\_\_\_

What was the amount of time from the date of work complete/time stop to the Final Acceptance date? If greater than 6 months, please provide reason(s).

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**Note: Attach a copy of the construction audit report for all 3 projects listed above.**

## Section F - Procurement of Engineering and Design Related Services

### Questionnaire

1. How many procurements for architecture and engineering services were performed for contracts to be funded with Federal Aid Highway Program funds within the past three years? Provide a list of all and answer the project specific questions below for the three most recent procurements using Federal-Aid funds.

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2. Provide the written policies and procedures used to procure architecture and engineering services for the three most recent procurements using Federal-Aid funds, which are in accordance with §172.5(b)(1). If none are available, describe the process followed from beginning to end.

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**Please answer the following questions for your 3 most recent Federal-Aid projects to enable the Department to determine compliance with 23 CFR 172, entitled “Procurement, Management, and Administration of Engineering and Design Related Services”.**

#### **Project 1**

1. How was the solicitation announced, advertised, or published in a public forum or method that assured qualified in-state and out-of-state consultants were given a fair opportunity to be considered? How long was the project advertised?

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a. What were the selection criteria and the associated weights used in the selection process?

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b. Provide a copy of the resulting evaluation, ranking and selection in order to assist in verifying compliance. How many statements of qualifications were received? What was the DBE Goal for the project?

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2. Compliance with 23 CFR 172.7(a)(1)(v) and 23 CFR172.11: After the selection process was completed, describe the negotiation process utilized to determine a fair and reasonable cost for the services provided?

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3. What was the advertised contract type? (project specific, multi-phase project specific, on call/Indefinite delivery/indefinite quantity )IDIQ))

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4. If it was an on call IDIQ, what was the contract term?

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## Project 2

1. How was the solicitation announced, advertised, or published in a public forum or method that assured qualified in-state and out-of-state consultants were given a fair opportunity to be considered? How long was the project advertised?

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a. What were the selection criteria and the associated weights used in the selection process?

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b. Provide a copy of the resulting evaluation, ranking and selection in order to assist in verifying compliance. How many statements of qualifications were received?

What was the DBE Goal for the project?

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2. Compliance with 23 CFR 172.7(a)(1)(v) and 23 CFR172.11: After the selection process was completed, describe the negotiation process utilized to determine a fair and reasonable cost for the services provided?

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3. What was the advertised contract type? (project specific, multi-phase project specific, on call/IDIQ)

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4. If it was an on call IDIQ, what was the contract term?

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### Project 3

1. How was the solicitation announced, advertised, or published in a public forum or method that assured qualified in-state and out-of-state consultants were given a fair opportunity to be considered? How long was the project advertised?

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a. What were the selection criteria and the associated weights used in the selection process?

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b. Provide a copy of the resulting evaluation, ranking and selection in order to assist in verifying compliance. How many statements of qualifications were received? What was the DBE Goal for the project?

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2. Compliance with 23 CFR 172.7(a)(1)(v) and 23 CFR172.11: After the selection process was completed, describe the negotiation process utilized to determine a fair and reasonable cost for the services provided?

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3. What was the advertised contract type? (project specific, multi-phase project specific, on call/IDIQ)

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4. If it was an on call IDIQ, what was the contract term?

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## Section G - Re-Certification for a 3-Year Period

The Office of Inspector General's (OIG) issued a report dated July 15, 2011, titled Federal Highway Administration's Oversight of Federal –Aid and recovery Act Projects Administered by Local Public Agencies Need Strengthening. The report identified seven project activities where the OIG found a high level of non-compliance with Federal requirements. The goal is to increase our state oversight compliance in all areas through additional training for both GDOT and Locals, while specifically addressing the seven project activities with significant reoccurring non-compliance listed below:

1. Change Order and Claims
2. Project Bidding/contractor selection/unbalanced bid analysis
3. Utility agreements/reimbursements
4. Consultant selection and billings
5. Construction pay quantities and progress payments
6. Project reporting and tracking
7. Quality assurance procedures

The report can be found on the OIG's website: <https://www.oig.dot.gov/library-item/29674>

The Georgia Department of Transportation, in collaboration with the Georgia Division Federal Highway Administration (FHWA), has developed a 3-year Local Administered Project (LAP) Re-Certification Process. This process is established to ensure the capacity and ability of the Local Public Agency (LPA) to successfully manage, administer and execute the policies and procedures for Federal and State compliance in order to receive federal funding through one of the three qualified certification options available to participants.

The Departments' goals are to obtain updated information through this process; assess the Local Agencies' past performance; gather feedback through a series of questions and written responses; provide guidance on areas of high-level non-compliance and other deficient areas, while providing additional training to increase delivery. In addition, the Department is interested in obtaining feedback from the Local Agencies on streamlining other processes and sharing best practices and innovative ideas. Finally, components of the 3-year recertification process are aligned with the Department's "Stewardship Agreement", which seeks to ensure oversight and compliance with State and Federal regulations.

Each Local Agency is required to recertify after a period of 3 years. During the recertification process, the LAP Coordinator and the LAP Committee shall evaluate the Local Agency's past performance and any staffing changes. As part of the recertification process, the Local Agency completes a sub-recipient compliance non- discrimination review. Recertification provides an opportunity for the Department and the Local Agency to evaluate their partnership. Additionally,

as a part of the recertification review process, a Local Agency may be recertified to a different certification type or have the certification removed. The Department and the Local Agency should determine what aspects of the Local Agency's efforts are working well, what needs to be improved and whether the LAP certification should continue.

Local Agency's certification may be removed for failure to comply with State and Federal regulations, the requirements of this Manual, and the Local Agency Program Agreement. The certification removal may also occur for unsatisfactory performance, which includes, but is not limited to: failure to deliver projects, and failure to meet the commitments of the LAP program. The LAP Coordinator and LAP Committee will recommend certification removal to the Chief Engineer. The recommendation will include performance reports and documentation of any factors relevant to the decision. A Local Agency may appeal the certification removal by requesting a meeting with the Chief Engineer.

Recommendation(s) of action to be taken by Agency from GDOT Reviewer:

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- \_\_\_\_\_ Full administration by agency of all projects
- \_\_\_\_\_ Administration by agency on a project-by-project basis
- \_\_\_\_\_ Non – CA Status Option 1
- \_\_\_\_\_ Non – CA Status Option 2
- \_\_\_\_\_ Deny approval for Re-Certification Acceptance

## Section H - Re-Certification Appeal Process

If re-certification has been denied, the Local Public Agency will then receive a letter explaining the reasons for denial. The LPA can then appeal any deficiencies found within 30 days. GDOT will then approve or deny the appeal based on additional information provided by the LPA.

Removal from the certification program may also occur at any time for unsatisfactory performance, which includes, but is not limited to:

- Failure to comply with applicable laws, regulations and policies
- Failure to meet the commitments of the LAP Program
- Failure to meet required timeframes for project delivery

The following two options for Non-Certification Acceptance (Non –CA) status are available to Local Agencies that cannot meet the re-certification requirements the agency can participate in Non-CA Acceptance Status either Option 1 or Option 2.

1. Option 1 The Non-CA Local Government could enter into an agreement with a Certification Acceptance (CA) Local Government to administer all aspects of the project. There must be a jurisdictional relationship (for example a CA County could have an agreement with a Non-CA City that is within its jurisdictional boundaries). This agreement requires approval by GDOT.
2. Option 2 GDOT acts as the CA for the Local Government through an approved plan for the administration of projects, which are executed between GDOT and the Local Government.

This signature ensures that the agency agrees to comply with the previous requirements when developing all Federal Highway Administration projects under GDOT's Qualification Certification Agreement. **FAILURE TO COMPLY** may require repayment for all or a portion of Federal funds. This applies to all successors from here.

LOCAL GOVERNMENT, Georgia

Approved By: \_\_\_\_\_

Title: \_\_\_\_\_

Signed, sealed and delivered

This \_\_\_\_ day of \_\_\_\_\_,

20\_\_\_\_, in the presence of:

\_\_\_\_\_

Witness

\_\_\_\_\_

Notary Public

**GEORGIA DEPARTMENT OF TRANSPORTATION**

Approved By: \_\_\_\_\_  
Program Control Administrator Date

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